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# UTILITY PATENT APPLICATION TRANSMITTAL

*(Only for new nonprovisional applications under 37 CFR § 1.53(b))*

Attorney Docket No.	1744.0020007/MQL/WRS
First Inventor	David F. SORRELLS
Title	Method and System for Frequency Up-Conversion
Express Mail Label No.	

C996 J. S. 267  
10 04/02**APPLICATION ELEMENTS***See MPEP chapter 600 concerning utility patent application contents.*
**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1.  Fee Transmittal Form (*e.g.*, PTO/SB/17)  
*(Submit an original, and a duplicate for fee processing)*

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 131]  
*(preferred arrangement set forth below)*  
 - Descriptive title of the Invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to sequence listing, a table, or a computer program listing appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (*if filed*)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

Drawings (35 U.S.C. 113) [Total Sheets 73]

Oath or Declaration [Total Pages 6]  
 a.  Newly executed (original or copy)  
 b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 17 completed)*  
 i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).

Application Data Sheet. See 37 CFR 1.76.

7.  CD-ROM or CD-R in duplicate, large table or Computer Program  
*(Appendix)*

8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*

a.  Computer Readable Form (CRF)  
 b. Specification Sequence Listing on:  
 i.  CD-ROM or CD-R (2 copies); or  
 ii.  paper

c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*

11.  English Translation Document *(if applicable)*

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations

13.  Preliminary Amendment

14.  Two (2) Return Receipt Postcards (MPEP 503)  
*(Should be specifically itemized)*

15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*

16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent.

17.  Other: Authorization under 37 C.F.R. § 1.136(a)(3)  
 Other: The name of the assignee is: ParkerVision, Inc.

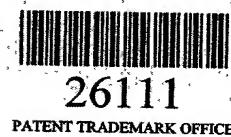
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

CONTINUATION OF PRIOR APPLICATION NO: 09/379/497  Divisional  Continuation-in-Part (CIP)  
Prior application information: Examiner: Green, Miguel D. Group/Art Unit: 2681

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS** Customer Number or Bar Code Label

Customer No. 26111

or  Correspondence address below26111  
PATENT TRADEMARK OFFICE

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.	
	Attorneys at Law	

NAME (Print/Type)	Michael Q. Lee	Registration No. (Attorney/Agent)	35,239
SIGNATURE			Date March 4, 2002

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 740.00)

Complete if Known	
Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	David F. SORRELLS
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	1744.0020007

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																																																																																																											
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:</p> <p>Deposit Account Number <b>19-0036</b></p> <p>Deposit Account Name <b>Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.</b></p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>		<p><b>3. ADDITIONAL FEES</b></p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th colspan="4">Fee Description</th> <th>Fee paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> <th colspan="2"></th> <th></th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td colspan="2">Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td colspan="2">Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td colspan="2">Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td colspan="2">For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td colspan="2">Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td colspan="2">Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td colspan="2">Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td colspan="2">Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td colspan="2">Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td colspan="2">Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td colspan="2">Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td colspan="2">Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td colspan="2">Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td colspan="2">Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td colspan="2">Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td colspan="2">Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td colspan="2">Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td colspan="2">Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230</td><td colspan="2">Design issue fee</td><td></td></tr> <tr><td>144</td><td>620</td><td>244</td><td>310</td><td colspan="2">Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td colspan="2">Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>130</td><td>123</td><td>130</td><td colspan="2">Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td colspan="2">Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>481</td><td>40</td><td colspan="2">Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>740</td><td>246</td><td>370</td><td colspan="2">Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>740</td><td>249</td><td>370</td><td colspan="2">For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370</td><td colspan="2">Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td colspan="2">Request for expedited examination of a design application</td><td></td></tr> <tr> <td colspan="6">Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="6">Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="6">*Reduced by Basic Filing Fee Paid</td> <td></td> </tr> <tr> <td colspan="2">SUBTOTAL (1) (\$ 740.00)</td> <td colspan="4">SUBTOTAL (3) (\$ 0.00)</td> <td></td> </tr> <tr> <td colspan="8">** or number previously paid, if greater. For Reissues, see above</td> </tr> </tbody> </table>						Large Entity	Small Entity	Fee Description				Fee paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)				105	130	205	65	Surcharge - late filing fee or oath			127	50	227	25	Surcharge - late provisional filing fee or cover sheet			139	130	139	130	Non-English specification			147	2,520	147	2,520	For filing a request for ex parte reexamination			112	920*	112	920*	Requesting publication of SIR prior to Examiner action			113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action			115	110	215	55	Extension for reply within first month			116	400	216	200	Extension for reply within second month			117	920	217	460	Extension for reply within third month			118	1,440	218	720	Extension for reply within fourth month			128	1,960	228	980	Extension for reply within fifth month			119	320	219	160	Notice of Appeal			120	320	220	160	Filing a brief in support of an appeal			121	280	221	140	Request for oral hearing			138	1,510	138	1,510	Petition to institute a public use proceeding			140	110	240	55	Petition to revive - unavoidable			141	1,280	241	640	Petition to revive - unintentional			142	1,280	242	640	Utility issue fee (or reissue)			143	460	243	230	Design issue fee			144	620	244	310	Plant issue fee			122	130	122	130	Petitions to the Commissioner			123	130	123	130	Petitions related to provisional applications			126	180	126	180	Submission of Information Disclosure Stmt			581	40	481	40	Recording each patent assignment per property (times number of properties)			146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))			149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))			179	740	279	370	Request for Continued Examination (RCE)			169	900	169	900	Request for expedited examination of a design application			Other fee (specify):							Other fee (specify):							*Reduced by Basic Filing Fee Paid							SUBTOTAL (1) (\$ 740.00)		SUBTOTAL (3) (\$ 0.00)					** or number previously paid, if greater. 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Name (Print/Type)	Michael Q. Lee	Registration No. (Attorney/Agent)	35,239	Telephone	202-371-2600	Complete (if applicable)																																																																																																																																																																																																																																																							
Signature				Date	March 4, 2002																																																																																																																																																																																																																																																								

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SKFG Rev. 10/01/01 mmac

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J 1132 U.S. PTO  
03/04/02

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\*Admitted only in Virginia  
\*Admitted only in Texas

1C996 U.S. PTO  
10/086367

03/04/02

March 4, 2002

**WRITER'S DIRECT NUMBER:**  
(202) 371-2674

**INTERNET ADDRESS:**  
MLEE@SKGF.COM

Commissioner for Patents  
Washington, D.C. 20231

**Box: Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
*(Continuation of U.S. Patent Appl. No. 09/379,497; Filed: August 23, 1999)*  
Appl. No. (To Be Assigned); Filed: Herewith  
For: **Method and System for Frequency Up-Conversion**  
Inventors: David F. SORRELLS *et al.*  
Our Ref: 1744.0020007/MQL/WRS

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17);
2. PTO Utility Patent Application Transmittal (Form PTO/SB/05);
3. U.S. Utility Patent Application entitled:

### **Method and System for Frequency Up-Conversion**

and naming as inventors:

David F. SORRELLS  
Michael J. BULTMAN  
Robert W. COOK  
Richard C. LOOKE  
Charley D. MOSES, Jr.

the application consisting of:

Commissioner for Patents  
March 4, 2002  
Page 2

- a. A specification containing:
  - i. 128 pages of description prior to the claims;
  - ii. 2 pages of claims (6 claims - 1 Independent);
  - iii. a one (1) page abstract;
- b. 73 sheets of drawings: (Figures 1, 2A-2C, 3, 4A-4C, 5, 6A-6C, 7, 8A-8E, 9-18, 19A-19I, 20A-20C, 21A-21C, 22A-22C, 23-27, 28A-28C, 29A-29C, 30A-30C, 31A-31C, 32A-32C, 33A-33C, 34-36, 37A-37B, 38, 39A-39D, 40A-40D, 41, 42A-42E, 43, 44A-44G, 45A-45F, 46, 47, 48A-48B, 49, 50, 51A-51D, 52, 53, 54A-54C, 55, 56, 57A-57C, 58-62, 63A-63H, 64A, 64A-1, 64B-64F);
- c. A copy of the executed Combined Declaration and Power of Attorney, as filed in U.S. Appl. No. 09/379,497;
- d. An Application Data Sheet (37 C.F.R. § 1.76);

- 4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3);
- 5. Preliminary Amendment;
- 6. Two (2) return postcards; and
- 7. Our check no. 34386 for \$740.00 to cover the filing fee for patent application.

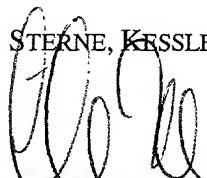
It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Commissioner for Patents  
March 4, 2002  
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michael Q. Lee  
Attorney for Applicants  
Registration No. 35,239

Enclosures

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